

# Request for Records Disposition Authority

(See Instructions on reverse)

## Leave Blank (NARA Use Only)

To **National Archives and Records Administration (NIR)**  
**Washington, DC 20408**

Job Number

NI-174-12-1

1 From (Agency or establishment)

U S Department of Labor

Date Received

4/19/12

2 Major Subdivision

Office of the Secretary (OSEC)

### Notification to Agency

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

3 Minor Subdivision

Adjudicatory Boards (ARB, BRB, ECAB)

4 Name of Person with whom to confer

Frank W Clubb

5 Telephone (include area code)

202-693-6234

Date

18 Aug 12

Archivist of the United States



### 6 Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies

is not required

is attached

has been requested

Signature of Agency Representative



Title

Departmental Records Management Officer

Date (mm/dd/yyyy)

04/16/2012

7 Item Number

8 Description of Item and Proposed Disposition

9 GRS or Superseded Job Citation

10 Action taken (NARA Use Only)

1

See attached descriptive listing of record series items

NA

**US Department of Labor  
Office of the Secretary  
Adjudicatory Boards  
Appeals Management System (AMS)**

**Background:**

The Department of Labor's Adjudicatory Boards (hereafter referred to collectively as "the Boards") are quasi-judicial bodies that are part of the Department's over-arching, worker protection mission. The Boards review appeals under a variety of workers' compensation benefit and protection laws.

The Administrative Review Board (ARB) decides appeals on statutes outlined in Secretary's Order 02-1996, dated 17 April 1996, and Order 1-2002 dated 24 September 2002. The Benefits Review Board (BRB) decides appeals under the Black Lung (BL) and Longshore (LS) Acts including appeals filed under the Defense Base Act. The Employees' Compensation Appeals Board (ECAB) decides appeals under the Federal Employees' Compensation Act (FECA).

**Note: The disposition instructions apply to records regardless of physical form or characteristic. Records may be maintained in any form or any medium. The records are media neutral unless otherwise noted.**

**Adjudicatory Boards Appeals Management System (AMS)**

DOL Unique Identifier: 012-000003625 00-25-01-03-02-00

The Adjudicatory Boards adjudicate appeals arising from issues covered in more than 50 statutes. The Boards collectively process approximately 4,000 appeals a year and have on the average approximately 2,300 active (open) appeals under review at any one time. This appeal workload is handled through the Boards' Appeals Management System (AMS).

The AMS is a web-based, electronic, management system that Board Members and their staff use to effectively manage and track the appeal-workflow process from the initial filing of an appeal until a final decision is made and the appeal is closed. The AMS can add and retrieve information regarding appeals pending before the Boards, and run a variety of reports for managing the appeal load.

The AMS is a tool for the management of an appeal and is not the official record. All information and documents that are in AMS are either in paper form in appeal generated docket files which are scheduled under N9-386-00-01 and N1-174-06-2 or are included in the official appeal file that is returned to the lower entity (*e.g.*, OWCP, OALJ).

~~**1. Input/Source Documents.** Consists of all appeal data and information related to the appeal including but not limited to type of appeal, appeal date, claimant and parties contact information. Also includes correspondence from the claimant, and parties, requests for oral arguments, settlement proposals, Congressional inquiries, and requests for reconsideration of decisions.~~

~~**DISPOSITION: All original documents are retained and made a part of the record appeal record**~~ The record appeal file is then either returned or remanded to the appropriate lower, adjudicatory entity or archived (ECAB) following the completion of the appeal.

(1) **2. Master File.**

a. Metadata. AMS maintains electronic information or metadata on appeals before the Boards, including but not limited to events such as dates of docketing, hearing dates, motions received, orders issued, date transcripts received, and the parties in those appeals including but not limited to name and contact information.

**DISPOSITION: TEMPORARY.** Metadata is deleted-destroyed when either.

- Superseded or determined no longer necessary.
- IAW internal, predetermined, time period or business rule.
- The system is decommissioned.

(2) b. Documents. AMS maintains electronic versions of documents which includes but is not limited to Board issued orders and decisions; briefs and motions filed by parties to the appeal; and copies of other documents that may be relevant to the appeal. All these documents are maintained in either paper or electronic form in the record appeal file.

**DISPOSITION: TEMPORARY** Cutoff archived documents at the end of the fiscal year using the date of the docket for each appeal file associated with the document. Delete and destroy 20 years after the cutoff date (see N9-386-00-01 and N1-174-06-2). All other documents are included in the official appeal file that is returned to the lower entity.

~~3. Outputs Consists of *ad hoc* reports, routine correspondence (e.g., notification of receipt of request for appeal), docket and service sheets. Users can as needed query the system and display and print reports or appeal related documentation.~~

~~**DISPOSITION: TEMPORARY.** Destroy when:~~

- ~~• No longer needed for reference.~~
- ~~• IAW internal, predetermined, time period or business rule.~~

~~4. AMS Documentation. Consists of user and technical manuals, design and specification documents~~

~~**DISPOSITION: TEMPORARY** Destroy or delete when system is either replaced or decommissioned.~~